

(DETACH INSTRUCTIONS BEFORE FILING)

U.S. DEPARTMENT OF TRANSPORTATION

PERFORMANCE APPRAISAL FORM

This form shall be used for employees covered by the Performance Management and Recognition System (PMRS) (GM-13 through 15) and General Schedule and Prevailing Rate employees covered by the Performance Management System (PMS). Please refer to your organization's implementing instructions if further guidance is required.

INSTRUCTIONS TO RATING OFFICIAL

1. Beginning of the Appraisal Period.

- a. List the most important job elements or work objectives in Section F of DOT Form 3430.9A (3-93). This form is designed for a job element to be written on one side and a work objective on the reverse side. For PMRS employees, work objectives may be used in lieu of job elements. Use one form for each job element or work objective (use attachments if necessary). For work objectives, you may use separate management documentations such as, individual employee work plans, organizational goals, etc., which meet the definition of work objectives in lieu of DOT Form 3430.9A (3-93).
- b. If required within your organization, the relative importance of each job element and work objective may be indicated by establishing the appropriate weight. Critical elements or objectives may receive a weight of no less than 10% and the weight for noncritical elements or objectives must range from 1-5%.
- c. Describe the Proficient performance level for each element or objective in accordance with your organization's
- d. Attach the completed Performance Plan to the "Performance Appraisal Form" (DOT Form 3430.9 (3-93)) and forward

Following the management approval process and discussion with the employee, provide a copy of the appraisal form to

- f. In order to protect the privacy of the employee, keep this form in a secured place.

2. Mid-Point Progress Review.

- a. The DOT Performance Appraisal System requires a mid-point progress review to inform the employee of his/her performance against the elements, standard and/or work objectives, to review the accuracy of elements, standards and/or objectives and to reflect changes in the performance plan. Additional reviews may be necessary. Section B of the form must be used to document completion of the mid-point progress review. changes to the Performance Plan and comments, if any, should be stated in Section D, "Remarks."

3. Conclusion of the Appraisal Period.

- a. To document employee performance, complete Section F of DOT Form 3430.9A (3-93), in accordance with your organization's implementing instructions.
- b. Check the appropriate rating for each job element or work objective in the block provided in Section F and provide description of performance above or below the Proficient level in the space provided (use attachments if necessary).
- c. Indicate the summary rating in Section C. Approval of the rating of record must be obtained prior to discussing the rating of record with the employee.
- d. Certification by the rating official, approving official and employee should be recorded in Section C. Comments, if any, should be stated in Section D, "Remarks."

Use Section E to identify training to assist the employee in improving job performance.

- f. When completed, transmit the original performance appraisal form to the Personnel Office and provide a copy of the completed form to the employee.

**U.S. DEPARTMENT OF TRANSPORTATION
PERFORMANCE APPRAISAL FORM**

Last Name - First Name - Middle Initial	Social Security No.	Appraisal Period	
		From	To
Title, Series and Grade		Organizational Unit and Location	

A CERTIFICATION OF INITIAL DISCUSSION AND APPROVAL OF PERFORMANCE PLAN

Signature of Supervisor	Title	Signature of Employee
Signature of Second Level Supervisor	Title	Date of Discussion

B MID-POINT PROGRESS REVIEW

Signature of Supervisor	Signature of Employee	Date of Discussion
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C SUMMARY PERFORMANCE RATING DETERMINATION

- ☐ **DISTINGUISHED** - Individual job elements/work objectives constituting at least 70 percent of performance must be rated Distinguished and all critical elements/work objectives rated at least Meritorious.
- ☐ **MERITORIOUS** - Individual job elements/work objectives constituting 70 percent or more of performance must be rated no lower than Meritorious and all critical elements/work objectives rated at least Proficient.
- ☐ **PROFICIENT** - All individual critical job elements/work objectives rated at least Proficient.
- ☐ **NEEDS IMPROVEMENT** - One or more critical job element/work objectives rated Needs Improvement.
- ☐ **UNSATISFACTORY** - One or more critical job element/work objective rated Unsatisfactory.

Reason for rating:

- ☐ End of annual cycle
- ☐ Employee reassigned
- ☐ Employee leaving agency
- ☐ Other (Specify)

Signature of Supervisor Date

Signature of Second Level Supervisor Date

I have reviewed the completed performance document and it has been discussed with me. This does not necessarily mean that I agree with all the information in it or that I forfeit any rights of review. (Comments may be entered in Section D "Remarks")

Signature of Approving/Reviewing Official Date

Signature of Employee Date

D	REMARKS
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~~This~~ section may be used by supervisor and employee to document discussions at the mid-point progress review, to note changes in the performance and to record comments concerning the summary rating. Remarks should be initialed and dated.

E	IDENTIFICATION OF TRAINING NEEDS
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Where required, identify technical and/or management training which could assist the employee in improving job performance.